

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Substance Abuse and Mental Health Services Administration Center for Mental Health Services

Guidance for Applicants (GFA) No. SM 01- 002 Part I - Programmatic Guidance

Grants for Statewide Consumer Networks

Short Title: Consumer Network Grants

Application Due Date:
May 4, 2001

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Agency

Department of Health and Human Services (DHHS), Substance Abuse and Mental Health Services Administration (SAMHSA)

Action and Purpose

The Center for Mental Health Services (CMHS), SAMHSA, announces the availability of Fiscal Year 2001 funds to support State-level consumer networks - organizations to manage a set of activities that will assist consumers to participate in the development of policies, programs, and quality assurance activities related to mental health.

Approximately \$1.5 million will be available for approximately 25 awards. Individual awards should be no more than \$60,000 in total costs (direct and indirect). Actual funding levels will depend on the availability of funds.

Awards may be requested for up to 3 years. Annual continuation awards depend on the availability of funds and progress achieving goals and objectives.

Who Can Apply?

Nonprofit private entities that meet all of the following requirements are eligible to apply:

- , controlled and managed by mental health consumers;
- , dedicated to the improvement of mental health services statewide;
- , in existence as an operating

organization for more than one year at the time of the receipt date for this GFA; and

, has a board of directors comprised of more than 50% consumers.

Put evidence of these 4 eligibility statements in your Appendix 5. Eligibility is restricted to these organizations because the goal of the program is to improve the capacity of consumers to participate in statewide planning and policy making activities.

Enhanced Initiative

This announced program extends and modifies many aspects of the grant program, "Statewide Consumer and Consumer Supporter Network Grants," SM 98-013. Consumer network organizations currently participating in this program are also eligible to apply under this announcement. These applicants should indicate in their application activities undertaken under SM 98-013 and describe how they will continue and expand them under a new grant.

Application Kit

Application kits have several parts. The grant announcement (GFA) has 2 parts. Part I is different for each GFA. Part II has general policies and procedures that apply to **all** SAMHSA grant and cooperative agreements. You will need to use both Parts I and II for your application. **This document is Part I.**

The kit also includes the blank forms (SF 424 and PHS 5161) you will need to submit your application.

To get a complete application kit, including Parts I and II, you can:

Call the CMHS Knowledge Exchange Network (KEN) at 1-800 789-2647, TTY: 301-443-9006 or FAX: 301-984-8796.

Download from the SAMHSA site at www.SAMHSA.gov by checking “grants” link.

Where to Send the Application

Send the original and 2 copies of your grant application to:

SAMHSA Programs

Center for Scientific Review
National Institutes of Health
Suite 1040
6701 Rockledge Drive MSC-7710
Bethesda, MD 20892-7710*

*Change the zip code to 20817 if you use express mail or courier service.

Please note:

1. Use application form PHS 5161-1.
2. Be sure to type:
“SM 01- 002 Consumer Network Grants” in Item Number 10 on the face page of the application form.

Application Date

Your application must be received by May 4, 2001.

Applications received after this date will only be accepted if they have a proof-of-mailing

date from the carrier no later than April 27, 2001.

Private metered postmarks are not acceptable as proof of timely mailing. Late applications will be returned without review.

Contacts for Further Information

For questions on *program issues*, contact:

Risa Fox
Community Support Programs Branch
Division of Knowledge Development and
Systems Change
Center for Mental Health Services
Substance Abuse and Mental Health
Services Administration
Room 11C-22
5600 Fishers Lane
Rockville, MD 20857
(301) 443-3653
E-Mail: rfox@samhsa.gov

For questions on *grants management issues*, contact:

Gwen Simpson
Division of Grants Management, OPS
Substance Abuse and Mental Health Services
Administration
Room 13-105
5600 Fishers Lane
Rockville, MD 20857
(301) 443-4456
E-Mail: gsimpson@samhsa.gov

Funding Criteria

Decisions to fund a grant under this announcement are based on:

1. The strengths and weaknesses of the application as determined by the Peer Review Committee and approved by the CMHS Advisory Council
2. Availability of funds
3. Geographic distribution

Post Award Requirements

1. Reports:

- < Quarterly reports
- < Annual report (in place of fourth quarterly report)
- < Final report at end of last project period.

2. Compliance with information needed by SAMHSA for GPRA reporting requirements.

3. Grantees are required to attend annual grantee meetings.

Program Goals

The goals of the Statewide Consumer Network Grants are:

(1) Foster Leadership and Management Skills - Promote skills development with an emphasis on leadership, business and management and foster financial self-sufficiency of these organizations (transition from Federal funding to other public and private resources)

over the term of the Federal grant;

(2) Engage Consumers - Engage, involve, and retain consumers in network organizations.

(3) Strengthen Organizational Relationships - Improve collaboration among consumers, families, advocates, providers, and administrators to improve community mental health services and supports.

(4) Identify and Implement Technical Assistance Needs - Identify technical assistance needs for their organization and local consumer organizations in their State focused on developing self-help programs, promoting recovery concepts, and empowerment activities. Implement strategies that meets these needs or refer consumers to existing resources.

Definitions

Consumers: Individuals 18 years and older with severe mental illnesses that substantially interferes with their ability to carry out such primary aspects of daily living as self-care, household management, interpersonal relationships, or going to work or school.

Consumer Organization: An organization that is controlled and managed by consumers; dedicated to the improvement of mental health services statewide; has been in existence for more than one year at the time of the receipt date of this application; and has a board of directors comprised of more than 50 per cent consumers.

Target Population

The target population includes adult consumers, i.e., individuals 18 years and older with severe mental illnesses that substantially interferes with their ability to carry out such primary aspects of daily living as self-care, household management, interpersonal relationships, or going to work or school.

Project Requirements

Grantees will be required to:

- (1) Develop a strategic plan for implementing project activities that will accomplish the goals and objectives outlined within their application.
 - (2) Develop and implement strategies that increase leadership skills and capability among their members.
 - (3) Develop and implement strategies that strengthen organizational capacity to address local and state system reform, actively involving members in conceptualizing and developing these strategies thus contributing to skills building among their members.
 - (4) Sponsor specific activities to support consumer leadership development efforts.
 - (5) Develop and distribute informational materials on self-help, recovery, and leadership skills to consumers.
 - (6) Develop and implement strategies for assessing the technical assistance needs of their members and connecting them to existing resources including resources available through CMHS supported Technical Assistance Centers.
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Evaluation

At the end of each grant year a report must be submitted that describes the project's evaluation findings (See Project Narrative, Section D). An investment of no more than 5 per cent of the budget should be used for the evaluation.

Lobbying Restrictions

Federal law prohibits grantees from using Federal funds under this program for lobbying activities to influence legislation or appropriations pending before Congress or any State legislator. This prohibition includes directly lobbying Congress or State legislators on such matters or "grass roots" lobbying which consists of appeals to members of the public suggesting that they contact their elected representatives to indicate support for or opposition to pending legislation, or to urge those representatives to vote in a particular way.

Detailed Information on What to Include in Your Application

In order for your application to be **complete and eligible**, it must include the following in the order listed. Check off areas as you complete them for your application.

' **1. FACE PAGE**

Use Standard Form 424. See Appendix A in Part II for instructions. In signing the face page of the application, you are agreeing that the

information is accurate and complete.

2. ABSTRACT

Your total abstract may not be longer 35 lines. In the first 5 lines or less of your abstract, write a summary of your project that can be used in publications, reporting to Congress, or press releases, if funded.

3. TABLE OF CONTENTS

Include page numbers for each of the major sections of your application and for each appendix.

4. BUDGET FORM

Standard Form 424A. See Appendix B in Part II for instructions.

**5. PROJECT NARRATIVE
AND SUPPORT DOCUMENTATION**

These sections describe your project. The Project Narrative is made up of Sections A through D. More detailed information of A-D follows #10 of this checklist. Sections A-D may not be longer than 25 pages in total.

G Section A - Project Background and Goals

G Section B - Project Approach and Plans

G Section C - Management Plan and Staffing

G Section D - Statewide Evaluation Plan

Note: Section E is not required.

The support documentation for your application is made up of sections F through I.

There are no page limits for the following sections, except for Section F, the Biographical Sketches/Job Descriptions.

G Section F- Literature Citations
This section must contain complete citations, including titles and all authors, for any literature you cite in your application.

G Section G - Budget Justification, Existing Resources, Other Support

Fill out sections B, C, and E of the Standard Form 424A. Follow instructions in Appendix B, Part II.

NOTE: Although the budget for the proposed project is not a review criterion, the Review Group will be asked to comment on the budget after the merits of the application have been considered.

G Section H- Biographical Sketches and Job Descriptions

-- Include a biographical sketch for the project director and for other key positions. Each sketch should not be longer than **2 pages**. If the person has not been hired, include a letter of commitment with the sketch.

-- Include job descriptions for key personnel. They should not be longer than **1 page**.

-- *Sample sketches and job descriptions are listed in Item 6 in the Project Narrative section of the PHS 5161-1.*

G Section I- Confidentiality and

The seven areas you need to address in this section are outlined after the *Project Narrative Sections A - D Highlighted* section of this document.

6. APPENDICES 1 THROUGH 5

--Use only the appendices listed below.

--**Don't** use appendices to extend or replace any of the sections of the Project Narrative (reviewers will not consider them if you do).

--**Don't** use more than **30 pages** (plus all instruments) for the appendices.

Appendix 1:

Letters of Coordination and Support

Appendix 2:

Copy of Letter(s) to the Single State Agencies (SSAs). Please refer to Part II.

Appendix 3:

Data Collection Instruments

Appendix 4:

Sample Consent Forms

Appendix 5:

Evidence of Eligibility

7. ASSURANCES

Non- Construction Programs. Use Standard form 424B found in PHS 5161-1.

8. CERTIFICATIONS

9. DISCLOSURE OF LOBBYING ACTIVITIES

Please see Part II for lobbying prohibitions.

10. CHECKLIST

See Appendix C in Part II for instructions.

Project Narrative— Sections A Through D Highlighted

Your application consists of responding to sections A through I. **Sections A through D, the project narrative parts of your application, describe what you intend to do with your project.** Below you will find detailed information on how to respond to sections A through D.

T Sections A through D may not be longer than 25 pages.

T A peer review committee will assign a point score to your application based on how well you address these sections.

T The number of points after each main heading shows the maximum points a review committee may assign to that category.

T Reviewers will also be looking for plans to address cultural competence. Points will be awarded to applications that adequately address the cultural aspects of the review criterion.

Section A: Description of Goals and Objectives (25 Points)

C Describe the overall goal of your project and how it addresses the specific goals of the GFA.

- c Identify the specific objectives of the project and how they relate to the project goals.
- c Describe how the proposed project will contribute useful knowledge concerning organizational dynamics and relationship building among consumers, consumer supporter organizations, providers, administrators and community leaders.

**Section B: Project Approach and Plans
(35 Points)**

- c Provide a plan to develop and implement technical assistance strategies, including any plans to collaborate with CMHS-funded Technical Assistance Centers.
- c Describe in detail plans to sponsor local and regional training on leadership and management skills development (this could include organizing or expanding leadership academies or advocacy training programs);
- c Describe plans for providing training and educational opportunities to members of consumer organizations;
- c Describe plans for developing and distributing materials to consumers using both print and electronic media.
- c Provide a plan for including a broad representation of consumers and their families in the development of the application and the proposed implementation. (See Attachment A)

- c Provide a description of how the project plan addresses age, cultural, language, and gender issues and demonstrate the involvement of representatives of the target population in the conception and planned implementation of the project.

- c Provide a plan to assist consumers in becoming meaningfully involved in the planning and decision-making activities of their State Block Programs, State Planning Councils, and any other relevant State planning and policy-related agencies.

- c Describe the participatory planning process used in the preparation of the application.

**Section C: Management Plan and Staffing
(20 Points)**

- c Provide documentation of key staff who will have major roles in the project.
- c Provide a brief historical description of the organization's experience and documentation of activities within the last year dedicated to improving mental health or support services. In particular, describe any prior performance under SAMHSA grants. Current grantees in the "Statewide Consumer and Consumer Supporter Network Grant Program" should describe activities undertaken in this program and how they will continue and/or expand them with a new grant.
- c Provide a detailed project management plan for the first year of the project that

includes tasks, timetables, responsible persons, and specific major milestones for accomplishing each objective.

- c Discuss the staffing plan as it relates to cultural, language, and gender issues.
- c Discuss the available resources (facilities and equipment) for the project; proposed time frames, and plans for project management.

Section D: State-wide Evaluation Plan (20 Points)

The evaluation plan should describe the applicant's approach for carrying out the following three key tasks:

- 1) documenting the State-level activities and accomplishments associated with the program
 - 2) documenting the activities and accomplishments of community projects which are a direct result of the Statewide Networks involvement with the communities activities.
 - 3) providing an adequate process for disseminating evaluation findings back to the community-based organizations.
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Confidentiality and SAMHSA Participant Protection (SPP)

You must address 7 areas regarding confidentiality and SAMHSA participant

protection in your supporting documentation. However, no points will be assigned to this section.

This information will:

- / reveal if the protection of participants is adequate or if more protection is needed.
- / be considered when making funding decisions.

Some projects may expose people to risks in many different ways. In Section I of your application, you will need to:

- c report any possible risks for people in your project,
- c state how you plan to protect them from those risks, and
- c discuss how each type of risk will be dealt with, or why it does not apply to the project.

The following 7 issues must be discussed:

- Ø **Protect Clients and Staff from Potential Risks:**
- c Identify and describe any foreseeable physical, medical, psychological, social, legal, or other risks or adverse effects.
- c Discuss risks which are due either to participation in the project itself, or to the evaluation activities.
- c Describe the procedures that will be followed to minimize or protect participants against potential health or confidentiality risks. Make sure to list potential risks in addition to any confidentiality issues.

- to participate in a program.
- C Give plans to provide help if there are adverse effects to participants, if needed in the project.
 - C Where appropriate, describe alternative treatments and procedures that might be beneficial to the subjects.
 - C Offer reasons if you do not decide to use other beneficial treatments.
 - Ü Fair Selection of Participants:
 - C Describe the target population(s) for the proposed project. Include age, gender, racial/ethnic background. Address other important factors such as homeless youth, foster children, children of substance abusers, pregnant women, or other special population groups.
 - C Explain the reasons for using special types of participants, such as pregnant women, children, institutionalized or mentally disabled persons, prisoners, or others who are likely to be vulnerable to HIV/AIDS.
 - C Explain the reasons for including or excluding participants.
 - C Explain how you will recruit and select participants. Identify who will select participants.
 - Ü Absence of Coercion:
 - C Explain if participation in the project is voluntary or required. Identify possible reasons why it is required. For example, court orders requiring people
 - C If you plan to pay participants, state how participants will be awarded money or gifts.
 - C State how volunteer participants will be told that they may receive services and incentives even if they do not complete the study.
 - Ü Data Collection:
 - C Identify from whom you will collect data. For example, participants themselves, family members, teachers, others. Explain how you will collect data and list the site. For example, will you use school records, interviews, psychological assessments, observation, questionnaires, or other sources?
 - C Identify what type of specimens (e.g., urine, blood) will be used, if any. State if the material will be used just for evaluation and research or if other use will be made. Also, if needed, describe how the material will be monitored to ensure the safety of participants.
 - C Provide in Appendix No. 3, "Data Collection Instruments/Interview Protocols," copies of all available data collection instruments and interview protocols that you plan to use.
 - Ü Privacy and Confidentiality:
 - C List how you will ensure privacy and confidentiality. Include who will collect data and how it will be collected.

- C Describe:
- How you will use data collection instruments.
 - Where data will be stored.
 - Who will or will not have access to information.
 - How the identity of participants will be kept private. For example, through the use of a coding system on data records, limiting access to records, or storing identifiers separately from data.

NOTE: If applicable, grantees must agree to maintain the confidentiality of alcohol and drug abuse client records according to the provisions of Title 42 of the Code of Federal Regulations, Part II.

Y Adequate Consent Procedures:

- C List what information will be given to people who participate in the project. Include the type and purpose of their participation. Include how the data will be used and how you will keep the data private.

- C State:
- If their participation is voluntary.
 - Their right to leave the project at any time without problems.
 - Risks from the project.
 - Plans to protect clients from these risks.

- C Explain how you will get consent for youth, the elderly, people with limited reading skills, and people who do not use English as their first language.

Note: If the project poses potential physical, medical, psychological, legal, social, or other risks, you should get

written informed consent.

- C Indicate if you will get informed consent from participants or from their parents or legal guardians. Describe how the consent will be documented. For example: Will you read the consent forms? Will you ask prospective participants questions to be sure they understand the forms? Will you give them copies of what they sign?

- C Include sample consent forms in your Appendix 4, titled "Sample Consent Forms." If needed, give English translations.

Note: Never imply that the participant waives or appears to waive any legal rights, may not end involvement with the project, or releases your project or its agents from liability for negligence.

- C Describe if separate consents will be obtained for different stages or parts of the project. For example, will they be needed for both the treatment intervention and for the collection of data. Will individuals who do not consent to having individually identifiable data collected for evaluation purposes be allowed to participate in the project?

P Risk/Benefit Discussion:

- L Discuss why the risks are reasonable compared to expected benefits and importance of the knowledge from the project.

APPENDIX A

GUIDELINES FOR ASSESSING CONSUMER AND FAMILY PARTICIPATION

Applicants should have experience or track record of involving mental health consumers and their family members. The applicant organization should have a documented history of positive programmatic involvement of recipients of mental health services and their family members. This involvement should be meaningful and span all aspects of the organization's activities as described below:

- L Program Mission:** An organization's mission should reflect the value of involving consumers and family members in order to improve outcomes.

- L Program Planning:** Consumers and family members are involved in substantial numbers in the conceptualization of initiatives including identifying community needs, goals and objectives, and innovative approaches. This includes participation in grant application development including budget submissions. Approaches should also incorporate peer support methods.

- L Training and Staffing:** The staff of the organization should have substantive training in and be familiar with consumer and family-related issues. Attention should be placed on staffing the initiative with people who are themselves consumers or family members. Such staff should be paid commensurate with their work and in parity with other staff.

- L Informed Consent:** Recipients of project services should be fully informed of the benefits and risks of services and make a voluntary decision, without threats or coercion, to receive or reject services at any time.

- L Rights Protection:** Consumers and family members must be fully informed of all their rights including those designated by the President's Healthcare Consumer Bill of Rights and Responsibilities: Respect and Non Discrimination.

- L Program Administration, Governance, and Policy Determination:** Consumers and family members should be hired in key management roles to provide project oversight and guidance. Consumers and family members should sit on all Board of Director, Steering Committee, and Advisory bodies in meaningful numbers. Such members should be fully trained and compensated for their activities, including child care.

- L Program Evaluation:** Consumers and family members should be integrally involved in designing and carrying out all research and program evaluation activities. This includes determining research questions, designing instruments, conducting surveys and other research methods, and analyzing data and determining conclusions. This includes consumers and family members being involved in all submission of journal articles. Evaluation and research should include consumer satisfaction and dis-satisfaction measures.

